

## Annex III: Summary of Stock-Take

1. This annex presents a synopsis of the lessons learned to date from existing World Bank experiences in using citizen engagement (CE) approaches in projects. It includes an overview of the stocktake of projects utilizing CE approaches in ongoing World Bank projects and some lessons learned gathered from existing impact analyses of World Bank-supported community-driven development projects and interviews with task team leaders (TTLs).

2. **The stocktake aimed to gain an understanding about the differences between CE in project design with the actual implementation and to understand key challenges in implementation from a TTL perspective.** Methodology for the stocktake involved (a) a desk review of project appraisal documents for 517 Investment Project Financed (IPF) operations (IDA/IBRD) and 124 Development Policy Lending (DPL) operations (IDA/IBRD) approved in FY11 and FY12; (b) results framework indicator analysis of 299 IPF operations (IDA/IBRD) approved in FY10 and reporting in their Implementation Status and Results Reports (ISRs) in FY13; (c) 142 surveys of TTLs for projects that implement CE mechanisms; and (d) 68 in-depth interviews of TTLs for projects that implement CE, identified by suggestions, TTL references, and best-case examples.

### A. Stocktake

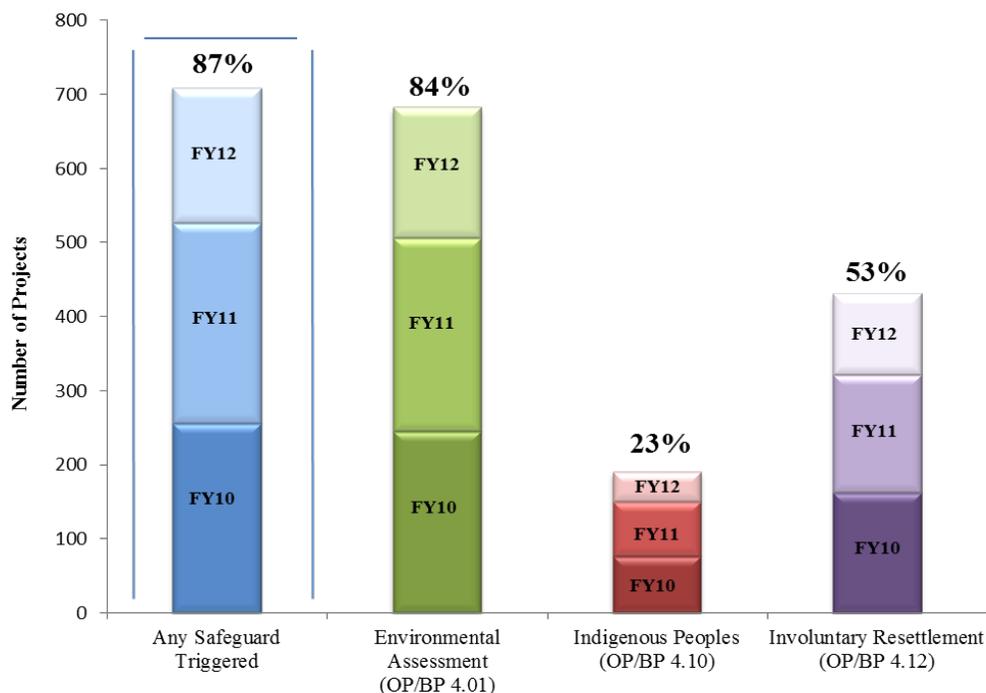
3. For the purpose of the stocktake, CE activities in Bank operations have been categorized into seven types of activities: (a) consultations; (b) collaboration in decision-making; (c) collecting, recording, and reporting on inputs received from citizens; (d) grievance and complaint redress mechanisms; (e) citizen led monitoring, evaluation, and/or oversight; (f) empowering citizens with resources and authority over their use; and (g) building citizen capacity for engagement.

4. **The large majority of CE mechanisms in projects to date are motivated by safeguard requirements, highlighting considerable potential for scaling up non-mandatory approaches.** Currently, 87 percent of IPF projects approved in FY10, FY11, and FY12 have triggered any one of the three key mandatory safeguards (OP4.01, OP4.10, or OP4.12) that require CE through consultations and grievance redress mechanisms, without clear reporting on them in project appraisal documents (PAD) and ISR results frameworks. Figure A3.1 provides the distribution of safeguards triggered for all IDA/IBRD IPF operations approved in FY10, FY11, and FY12. As shown, an Environmental Assessment (OP 4.01) was triggered in 84 percent of all projects approved, as compared to 53 percent for Involuntary Resettlement (OP 4.12), and 23 percent for Indigenous Peoples (OP 4.10). With almost 90 percent of IPF projects triggering mandatory CE mechanisms, safeguards-related CE provides one operational entry point for mainstreaming results-focused CE. This entails (a) improved reporting on mandatory CE mechanisms<sup>1</sup> and (b) significant potential for scaling up non-mandatory CE mechanisms in Bank operations.

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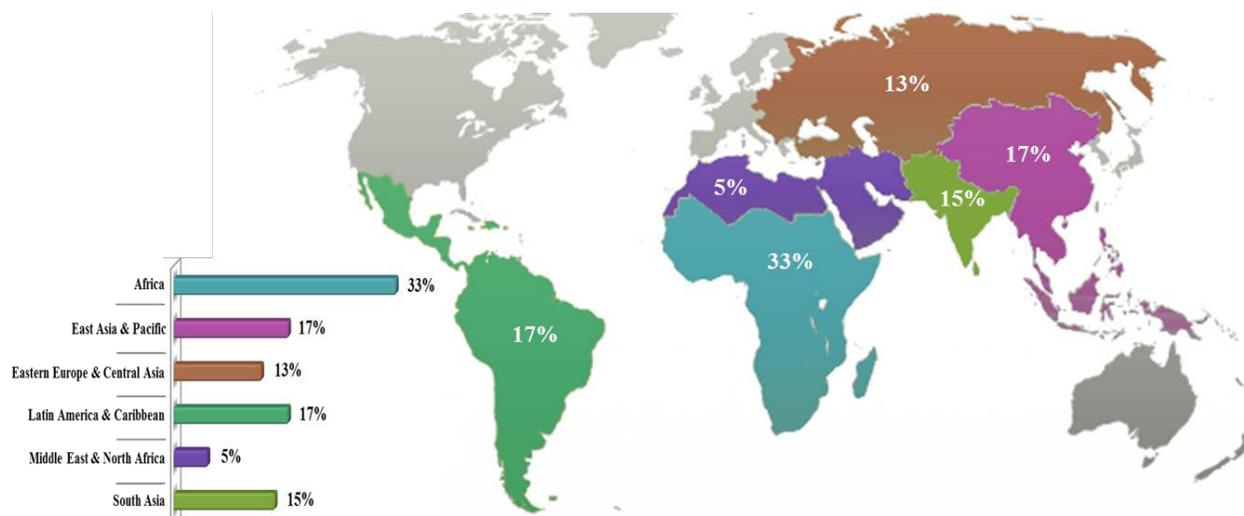
<sup>1</sup> The draft Environmental and Social Framework proposes that the Borrower will develop and implement a Stakeholder Engagement Plan (SEP) which will describe the timing and methods of engagement with project-affected communities and other stakeholders (See ESS10, para 14). This is a mandatory requirement. Additional details will be clarified in forthcoming procedures.

**Figure A3.1. Safeguards Triggered in IDA/IBRD IPFs Approved in FY10, FY11 and FY12**



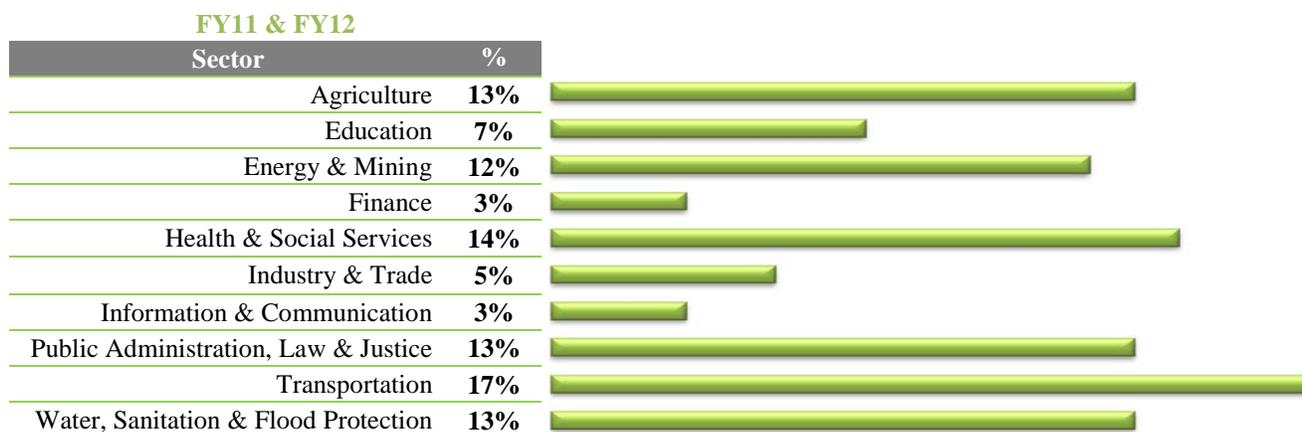
5. **Regional figures find CE across IPF in all regions, allowing for a cross-regional approach to mainstreaming.** Figure A.3.2 shows the regional distribution of IDA/IBRD IPF projects approved in FY11 and FY12, which currently require CE through safeguards. The highest share of CE activities in IPF (referred to as “beneficiary feedback”) currently derive from Africa (33 percent), followed by Latin America and the Caribbean (17 percent), East Asia and the Pacific (17 percent), South Asia (15 percent), Eastern Europe and Central Asia (13 percent), and the Middle East and North Africa (5 percent). While figures for regions such as the Middle East and North Africa may appear low at 5 percent, this reflects the distribution of approved operations per region and/or sector. Even in regions with a small number of operations, projects with CE are currently operating in nearly every sector.

**Figure A3.2. Regional Distribution of CE in IPF (%)**

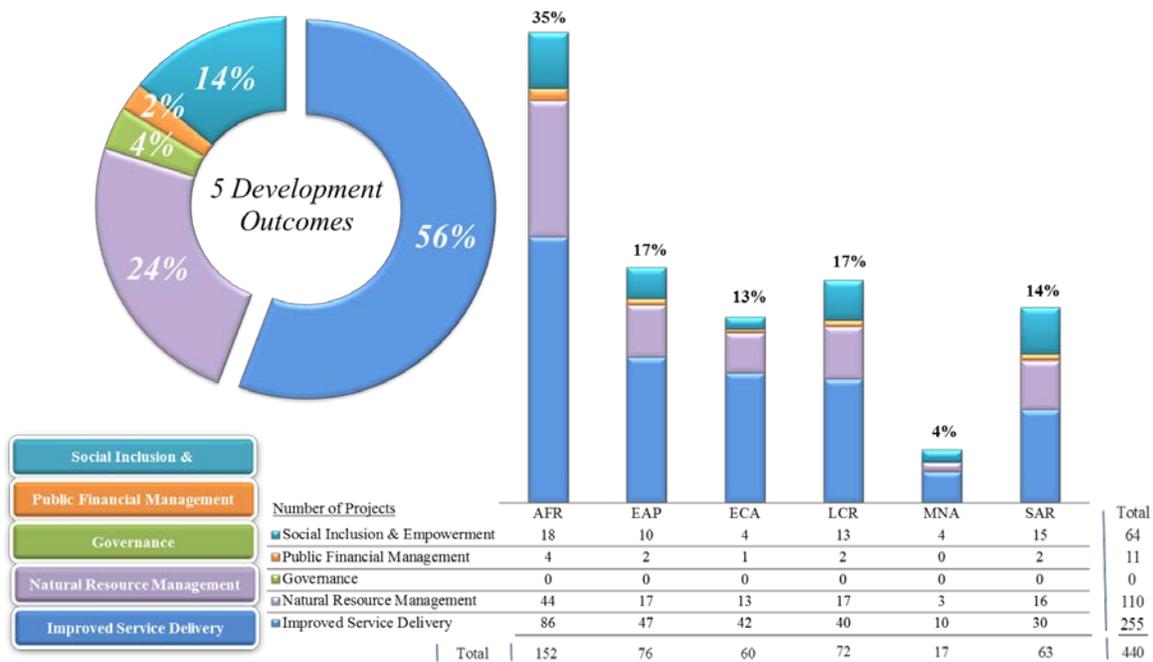


6. **Similarly, CE mechanisms in IPF are being utilized in all sectors of Bank operations, highlighting opportunities for mainstreaming CE across sectors.** The stocktake shows that across all regions, CE activities in IPFs are most prevalent in the transportation sector (17 percent); health and social services sector (14 percent); agriculture sector (13 percent); water sanitation and flood protection sector (13 percent); and public administration, law and justice sector (13 percent). This distribution can likely be attributed to the aforementioned safeguards requirements or community-driven development projects, particularly in the case of the agriculture sector. CE is also prevalent in the energy and mining sector (12 percent). Sectors where CE activities are least common include education (7 percent), industry and trade (5 percent), finance (3 percent), and information and communication (3 percent) (see Figure A3.3).

**Figure A3.3. Sectoral Distribution of Bank Operations with Beneficiary Feedback (%)**



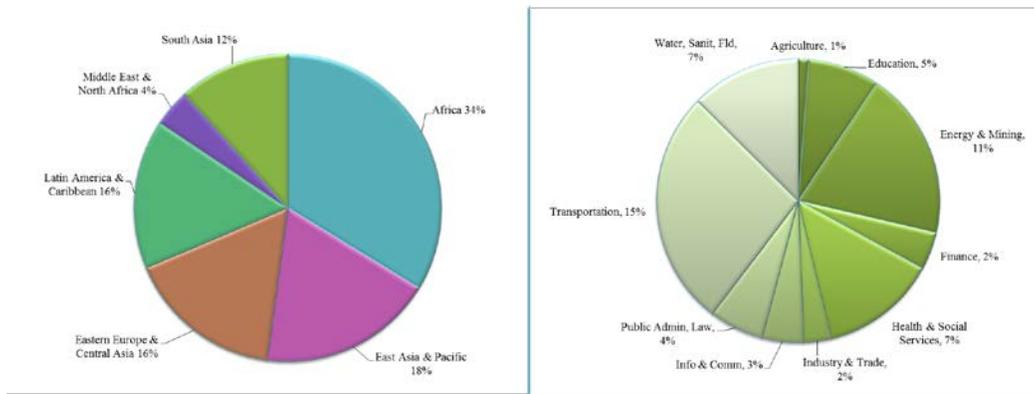
7. **The objectives of CE in IPF vary by region.** Based on project development objectives, the stocktake grouped IPF with CE into five common outcome areas: (a) service delivery; (b) natural resource management; (c) public financial management; (d) social inclusion and empowerment; and (e) governance. Regional differences exist. For example, Africa currently has CE activities across all five development outcome areas, while CE is not being used in projects across all outcome areas in other regions (see Figure A3.4).



**Figure A3.4. Regional Distribution of Bank Operations by Development Outcome Areas**

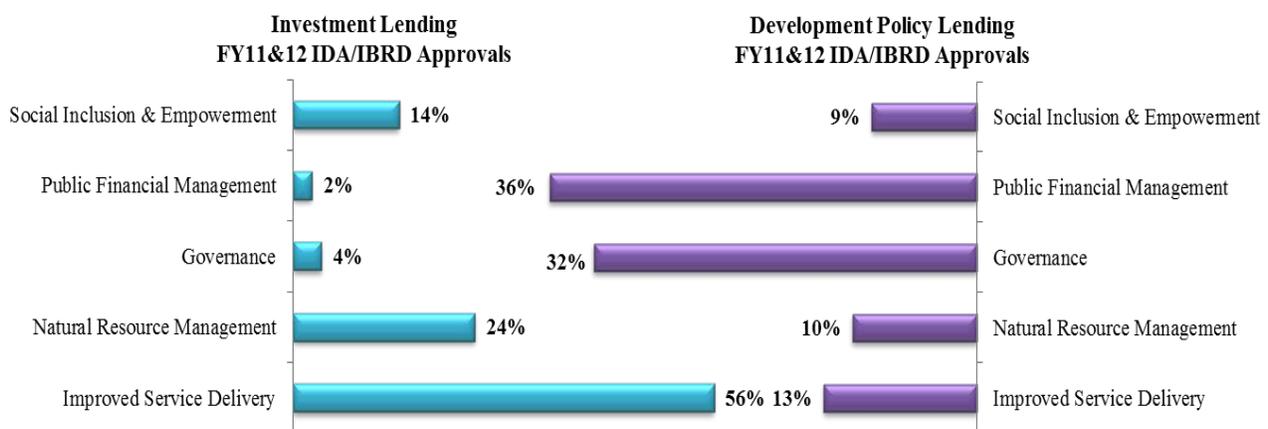
8. A review of project development objectives highlights that the majority of projects with CE mechanisms are intending to improve service delivery. Among the five identified development outcome areas, IPFs with the intended objective to improve service delivery (e.g., in infrastructure, health, or education) have the highest prevalence of CE activities across all regions (56 percent). The regional distribution of projects that intend to improve service delivery and have CE are proportionally similar to the regional distribution of projects that trigger safeguards for CE—Africa has the largest share, followed by East Asia and the Pacific, Latin America and the Caribbean, Eastern Europe and Central Asia, South Asia, and the Middle East and North Africa respectively. Figure A3.5 provides an overview of regional and sectoral distribution.

**Figure A3.5. Regional & Sectoral Distribution of Bank Operations with CE Intending to Improve Service Delivery**



9. **A comparison of IPF with DPLs that use CE reveals that these instruments support different development outcome areas.** Investment lending operations use CE approaches mainly to improve service delivery and natural resource management and less in projects for improved public financial management and governance (Figure A3.6, left). On the other hand, a far higher proportion of DPL operations use CE in support of public financial management and governance outcomes (Figure A3.6, right). These findings show that CE is being used in different Bank lending instruments to achieve different outcomes. A comprehensive approach to CE for results therefore needs to build on all available World Bank instruments for engagement and not be limited to IPF only.

**Figure A3.6. Distribution of Investment Lending Operations by Outcome Area**

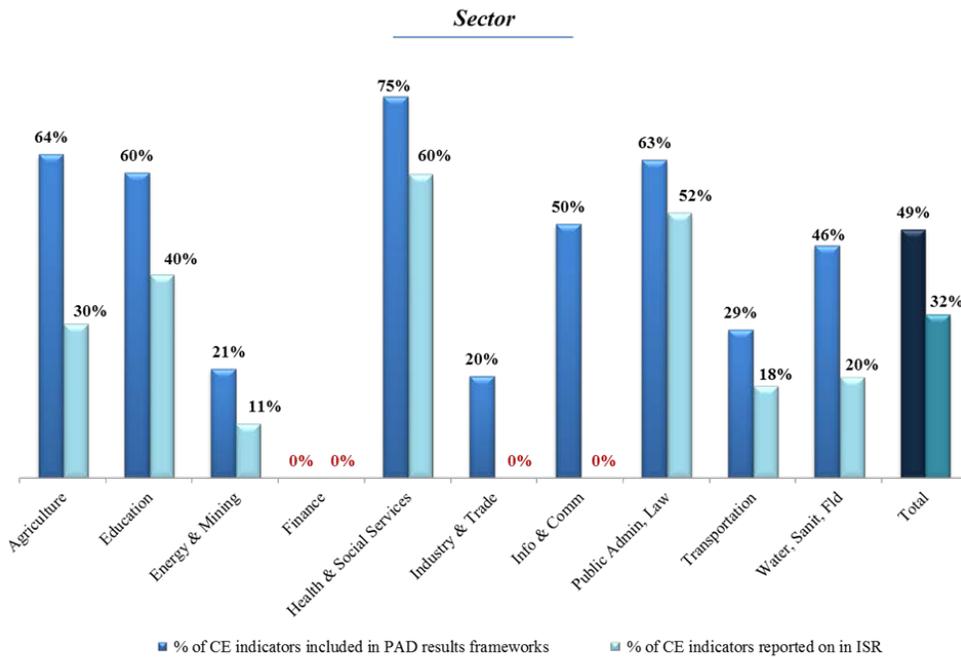


10. **Outcomes of CE are not monitored systematically, and results reporting during project implementation is irregular.** A review of ISR reporting in FY13 for investment lending operations approved in FY10 revealed that 32 percent of total approved IPF projects report on CE results indicators in ISRs. This highlights opportunities for the use of CE results indicators to set incentives for adequate monitoring and reporting by Global Practices/regions and sectors.

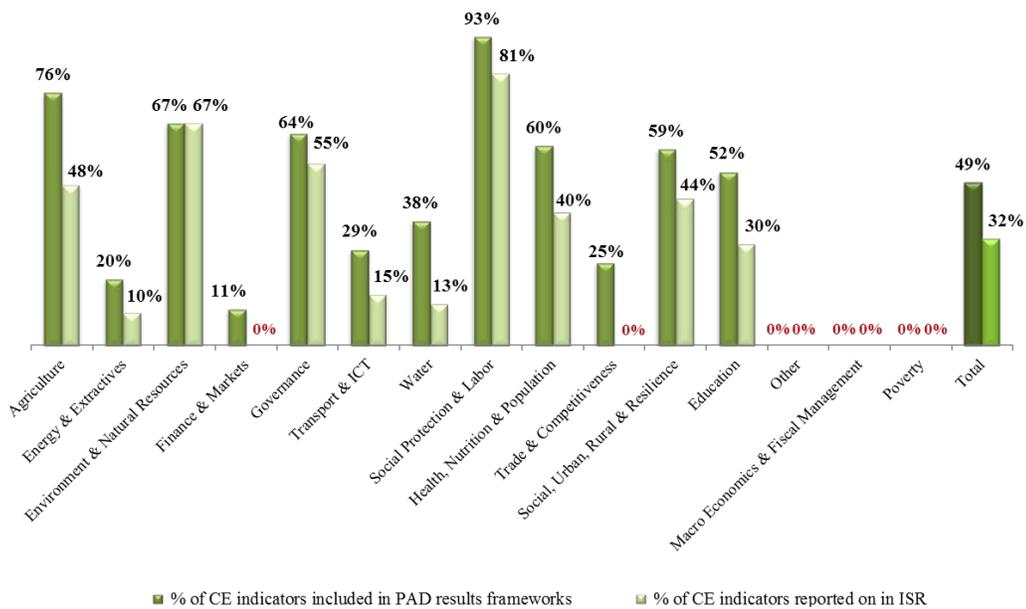
11. **Results reporting patterns differ by sectors.** Several sectors (including health and social services, agriculture, public administration and law and education) already include a CE results indicator in the PAD-level results frameworks while other sectors (transport, energy and mining, industry and trade) do this only in the minority of their projects. Similarly, some sectors such as health and social services or public administration and law report on CE results indicators during project implementation while reporting in others is weak to non-existent (Figure A3.7). Similar findings apply when data is presented by Global Practice. While this can

in part be explained by the different nature of projects in the various sectors, not all of which systematically involve citizens, it points nevertheless to an agenda of (a) systematically integrating results indicators for CE activities in projects and (b) improving implementation reporting on results indicators agreed at the project appraisal stage.

**Figure A3.7. Use of and Reporting on CE Indicators**



### Global Practice



## B. Lessons Learned

12. This section summarizes key lessons learned from 142 surveys and 68 interviews with TTLs and existing impact reviews of World Bank operations.

### Context Factors

13. **The quality of mandatory CE can be improved.** Eighty-five percent of TTLs interviewed attest that consultations are the primary method of CE, but the breadth of these consultations has been found to be highly variable. Consultations during design and implementation of project operations vary from being highly engaging with multiple iterations of consultation meetings to simple information dissemination. According to TTLs, a project’s CE credibility is established through the quality of consultations during project design. For instance, consultations that best articulate a common understanding among the citizens such as by providing visual aids and information material in local, easily understood language fosters clarity among the citizens and encourages higher citizen participation along with increasing willingness to provide feedback.

14. **The majority of CE activities are undertaken during the stages of project design and implementation and are relatively less prevalent at the completion stage.** The predominant mechanisms for beneficiary feedback are consultations, followed by public displays of information, participatory planning, and citizen satisfaction surveys. Third party monitoring is conducted most frequently through procurement monitoring and social audits, which are among

the most frequently used mechanisms at the project completion stage. However, the effectiveness of third party monitoring has proven to be contextually based and necessitates a minimum level of trust, otherwise it can even be counter productive by constraining the level of transparency at project level. Community management, though more frequent for community-driven development (CDD) projects, is less prevalent overall. Often, community management has involved co-financing by the community of the project, which has demonstrated success in sustaining activities post-project completion due to creating accountability within the community.

**15. Early results help build buy-in and ownership for CE activities in projects.** According to TTLs, stakeholder buy-in increases significantly once initial CE results have been achieved, typically close to mid-term, and can be a driver for scaling up CE activities. Trust is necessary to foster an enabling CE environment and strengthen the efficiency and effectiveness of CE activities. Task team leaders emphasize the need for citizens' trust that governments will take their feedback into account, to the extent possible, as well as confidence on part of governments that citizen feedback reflects pressing needs and priorities. A collaborative relationship among citizen monitoring groups, the government, and the project management units increases the possibility of monitoring results to be incorporated into project implementation. The World Bank's experience in this area confirms the need at the onset of the project to encourage and empower disadvantaged citizens who may feel too marginalized to provide honest feedback and to ensure that a functional feedback loop is in place to avoid raising expectations and leading to disillusionment (World Bank 2012b).

**16. The timing and degree of political transition influences CE success.** Political transition, depending on type, can create obstacles or opportunities for CE. In general, however, TTL interviews highlight that a higher degree of political stability leads to higher degrees of CE and within a shortened period of time.

**17. Local knowledge and capacity can contribute to the success of CE activities.** Several TTL interviews emphasized the importance of local knowledge, technical know-how and convening power of the communities, CSOs, and schools/training institutes that proved to be valuable during project design and implementation. Project team leaders cite that selecting staff who are CE knowledgeable within the local context was often challenging and was done on an ad hoc basis. Project implementation can benefit from a country-based CE specialist with knowledge of the country context, contributing to building the trust and confidence of sometimes skeptical government officials. Moreover, CSOs can be useful intermediaries between citizens and governments. Team leaders emphasize the benefit of CSO capacity to engage and reach those in the remote and rural areas. Citizen engagement has been found to be most successful when the government counterpart has sufficient implementation capacity and operates in a transparent manner. The most effective projects to institutionalize CE as part of country systems achieved this in an environment where a willing government structure had strong capacity to implement CE activities as well as the capacity to act on the feedback. If country capacity is not readily available, "the Bank may be able to augment [current country] systems by bringing technical expertise on how to generate meaningful and reliable responses." (World Bank, 2014b).

**19. 'Feedback fatigue' can have an adverse impact on planned CE activities.** According to some TTLs, parallel ongoing CE activities (particularly due to limited harmonization among

development cooperation providers), time constraints, and limited or slow results ensuing from their feedback have affected the willingness of citizens to participate in such activities. Some project teams recognized this aspect and made accommodations for project beneficiaries (e.g., changing the timing of community meetings to encourage higher attendance by women who were otherwise occupied with household chores at other times). There is a clear need to work better with other development partners by leveraging one another's resources to reduce project cost, including for CE activities.

## Operational Aspects

20. **There is strong demand from TTLs for guidance and support to CE mainstreaming in WBG operations.** Discussions with TTLs have confirmed the importance of designated technical support on a sustained basis as well as improved accessibility of systematic Bank knowledge on CE activities. The TTLs' awareness of existing guidance (or how-to) notes and resources for engaging with citizens is limited. Additionally, frequent TTL transitions have been noted as obstacles in passing on institutional knowledge. Beyond project documents, TTLs have named insufficient communication or knowledge transfer as key transition challenges. More WBG-wide systematic knowledge management on CE activities has also been cited as a need.

21. **All TTLs stated that CE needs to be incorporated into the project design.** This is particularly important to determine whether CE activities can support project development objectives; how to collaborate with partner governments in CE mainstreaming; which CE activities or mechanisms would be better suited for respective Bank-lending instruments and projects (including ICT); at which stage(s) of the project it would be relevant to incorporate such activities; and how and to what extent such activities should be implemented to strengthen project impact while not being overly taxing on implementation progress and resources.

22. **Regular reporting and monitoring of CE results indicators would facilitate rapid CE mainstreaming into WBG operations.** Feedback from TTLs confirms that it would be useful to incorporate CE indicators based on their project's intended outcomes rather than the project's sector. Since CE activities are not necessarily sector specific, a proposed list of sector agnostic CE indicators accompanied by clear guidance would be helpful for TTLs to think through the results-chain of their project, including the project's results framework. Using such CE indicators would also foster a culture for proactive CE integration into project design and help to prevent cumbersome procedures to amend existing results frameworks to integrate new CE indicators during project implementation. These indicators will be made available as part of staff guidance.

23. **There is scope for projects to close the feedback loop more consistently.** Overall, interviews with TTLs confirmed willingness and responsiveness on the part of project teams to make changes and undertake follow-up actions based on beneficiary/citizen feedback. At the same time, systematic efforts to inform citizens about how or if their feedback was utilized were found to be less prevalent.

24. **Currently technology is not widely used to support CE activities in operations.** The use of ICT depends on the nature of the project, the size of the project area, and the number of beneficiaries. It also depends on approach and context since ICT is no substitute for personal interaction with beneficiaries and citizens to build familiarity and rapport, particularly during the

initial stages of the project. In projects where ICT is used to engage with citizens, the use of websites/web portals is most prevalent, followed by mobile SMS. Currently, 39 percent of TTLs interviewed said to have incorporated ICT into project implementation. The TTLs note that SMS messaging and cell phone usage is more prevalent than Internet connectivity in rural areas. Call centers are commonly used in WBG operations in sectors concentrated on service delivery in urban areas or for projects that are undertaken throughout the country rather than in a particular community or region.

**Key Challenges**

25. **Time is one of the most constraining factors.** Lack of time has been cited by TTLs as a key constraint. Citizen engagement requires adequate time for design, implementation, and reporting back on the inputs received to close the feedback loop. This also points to the need to adequately budget for staff time in all projects aiming to engage with citizens at any point of the project lifecycle.

26. **Capacity building is key to obtaining results.** The interviewed TTLs indicate that initial engagement activities can be slow to produce results due to limited engagement capacity of both citizens/community organizations and governments. The need for adequate capacity for engagement at the community level has also been highlighted in the World Bank’s impact analysis of community-driven development projects (Wong, 2012).

27. **Most CE activities are financed through project components, but a consistent funding strategy and approach to costing is missing.** Evidence also shows that TTLs do not have a clear understanding with regard to available sources of funding for CE across the institution. According to data provided by the 142 TTL surveys, 53 percent of CE activities are financed by project components, 23 percent of activities are funded by Bank budget, 12 percent are financed through trust funds, and 12 percent are funded by counterparts. Additionally, team leaders pointed out that the government is willing to borrow and agree to CE activities for projects operating in a sector of high priority. Team leaders cite the government’s willingness to engage as being highest when CE is incorporated into the project components, which are discussed and agreed upon at project design. Trust funds are primarily used to pilot CE activities (Figure A3.8).

**Figure A3.8. Funding Sources Cited in Surveyed Projects**

